



# SENIOR EXECUTIVE SERVICE VACANCY ANNOUNCEMENT

United States Patent and Trademark Office

ANNOUNCEMENT NUMBER: USPTO-04-171  
OPENING DATE: November 18, 2004  
CLOSING DATE: Open Until Filled

## **TITLE, SERIES, AND GRADE**

Deputy Chief Financial Officer and  
Deputy Chief Administrative Officer  
ES-301  
Salary from \$104,927 to \$145,600  
SES Career Reserved Position

## **VACANCY LOCATION**

United States Patent and Trademark Office  
Office of the Chief Financial Officer and  
Chief Administrative Officer  
Arlington/Alexandria, Virginia

## **WHO MAY APPLY**

All Qualified Candidates

**Unless Already a Member of the SES, Selectee Will Be Required to Serve a One-Year Probationary Period in Accordance with 5 USC 3393 (d).**

**NOTES:** This position has been identified as a career reserved position in the Senior Executive Service. The Executive Resources Board will review qualification information about the candidates and make recommendations for referral to the selecting official and appointing authority. The qualifications of the proposed incumbent will have to be reviewed and approved by the Office of Personnel Management before an appointment can be made, unless the selectee is already an SES member.

## **BACKGROUND:**

The United States Patent and Trademark Office (USPTO), a cutting-edge organization dealing with intellectual property issues around the world, is seeking a high performing professional to join its Senior Executive Team as Deputy Chief Financial Officer and Deputy Chief Administrative Officer (DCFO-DCAO). Desirable qualifications are ten years or more experience in the financial and administrative management field, an advanced degree, such as a Master's in Business or Public Administration, and experience managing in a unionized environment.

The USPTO is a fully user fee-funded organization with an annual budget over \$1.3 billion and an overall staff of 6,800 comprised largely of engineers, scientists, and attorneys. The USPTO operates as a performance-based organization, plans to recruit and hire more than 900 employees this fiscal year, is quickly transitioning to electronic end-to-end processing of both patent and trademark applications, and by early March of 2005 will be located at its new state-of-the-art headquarters in Alexandria.

## **DUTIES:**

The Deputy Chief Financial Officer and Deputy Chief Administrative Officer serves as a full deputy and acting Chief Financial Officer and Chief Administrative Officer (CFO-CAO) in the absence of the CFO-CAO. The CFO-CAO is a principal advisor to the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark

Office and serves as the principal senior USPTO executive responsible for long-range planning for and integration of financial, budget, human resources, procurement, civil rights and administrative support services. The DCFO-DCAO assists the CFO-CAO in providing administrative and policy direction to a unique group of highly technical and complex organizations that comprise one of the most critical administrative segments of the USPTO.

**TOTAL EVALUATION OF QUALIFIED CANDIDATES:** Candidates are evaluated under the five SES Executive Core Qualifications and will be rated on the basis of the five rating factors, considering the applicant's education, work-related experience, training, awards, professional recognition and performance appraisals as set forth in the materials submitted by the candidates, and, if needed, upon a panel interview.

**MINIMUM REQUIREMENTS:**

For consideration for this position, applicants *must* meet the following requirements.

- A candidate must demonstrate that he/she has directly or indirectly managed a staff of at least 50 employees and that he/she has exercised supervisory responsibility (including recruitment, selection, rating and exercise of disciplinary actions as necessary).
- Demonstrable experience in at least two of the following areas: budget formulation and execution, financial management, procurement, human capital management, civil rights and facility management.
- Demonstrable experience in development of performance measures and implementation of performance management practices.

**SES QUALIFICATION REQUIREMENTS:** In order to be appointed to the SES, applicants must have experience which demonstrates competency in handling complex matters. **In addition, applicants must clearly demonstrate in their application materials that they possess executive attributes in the five SES Executive Core Qualification areas:**

1. Leading Change.
2. Leading People.
3. Results Driven.
4. Business Acumen.
5. Building Coalitions/Communication.

(See the last pages of this announcement for additional guidance on the content and structure of application materials.)

**NOTE: USING PLAIN SHEETS OF PAPER, PLEASE ADDRESS THE FIVE SES EXECUTIVE CORE QUALIFICATIONS AREAS AND EACH RANKING FACTOR AS LISTED UNDER "EVALUATION OF QUALIFIED CANDIDATES." FAILURE TO ADDRESS EACH AREA/FACTOR MAY HAVE AN IMPACT UPON YOUR RANKING.**

**EVALUATION OF QUALIFIED CANDIDATES:** Will be made on the basis of their demonstrated possession of, or potential to acquire knowledge, skills, abilities, and experience in the following areas:

**Rating Factors:** In order to be properly evaluated, the applicant *must provide specific examples of instances where he/she exhibited these traits.*

1. Demonstrated leadership ability that will enable the incumbent to serve as a key member of the CFO-CAO leadership team. Required are strategic thinking and the ability to produce seamless, high quality customer service that will achieve results.
2. Knowledge of and experience in leading administrative programs in a complex, high visibility environment. Ability to market and effect change in order to improve such programs.
3. Ability to recruit, develop, retain and lead a highly diverse and high performing workforce.
4. Ability to effectively communicate financial, budgetary, procurement, human resources, civil rights and/or administrative services issues and information to audiences such as the organization head, top level officials, and legislators.

**HOW TO APPLY:** Submit the following:  
Signed SF-171 or OF-612,  
Application for Federal Employment,  
or resume.

Most recent supervisory appraisal for  
status candidates.

A narrative that describes  
experience (specific tasks) and  
accomplishments against each of the  
SES core qualifications.

A narrative describing experience,  
education, and training, etc., in each  
of the four ranking factors.

**FOR SPECIFIC INFORMATION ABOUT  
THE ANNOUNCEMENT CALL:**

Suzanne Waddill (703) 305-8231

**TTD# (703)308-6645**

**MAILING ADDRESS:**

United States Patent and Trademark Office  
Mail Stop 171  
Office of Human Resources  
P.O. Box 1450  
Alexandria, VA 22313-1450

**WHERE TO APPLY IN PERSON:**

United States Patent and Trademark Office  
Office of Human Resources  
One Crystal Park, Suite 707  
2011 Crystal Drive  
Arlington, VA

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## **ATTACHMENT**

Candidates must provide information covering the five competency areas that provide the focus for the Office of Personnel Management review of executive qualifications. The listing of elements for each competency area is not meant to be exhaustive, but illustrative, nor is it expected that an individual will be a subject matter expert in these areas. What is required in each of these areas is that the individual candidate's record --- experience, education, accomplishments, and/or potential --- be indicative of competence to provide leadership for the accomplishment of these activities.

### **SENIOR EXECUTIVE SERVICE EXECUTIVE CORE QUALIFICATIONS**

#### **1. LEADING CHANGE**

This core qualification encompasses the ability to develop and implement an organizational vision, which integrates key national and program goals, priorities, values, and other factors. Inherent to it is the ability to balance change and continuity—to continually strive to improve customer service and program performance within the basic Government framework, to create a work environment that encourages creative thinking, and to maintain focus, intensity and persistence, even under adversity.

#### **Key Characteristics:**

- (a) Exercising leadership and motivating managers to incorporate vision, strategic planning, and elements of quality management into the full range of the organization's activities; encouraging creative thinking and innovation; influencing others toward a spirit of service; designing and implementing new or cutting edge programs/processes.
- (b) Identifying and integrating key issues affecting the organization, including political, economic, social, technological, and administrative factors.
- (c) Understanding the roles and relationships of the components of the national policy making and implementation process, including the President, political appointees, Congress, the judiciary, state and local governments, and interest groups; and formulating effective strategies to balance those interests consistent with the business of the organization.
- (d) Being open to change and new information; tolerating ambiguity; adapting behavior and work methods in response to new information, changing conditions, or unexpected obstacles; adjusting rapidly to new situations warranting attention and resolution.
- (e) Displaying a high level of initiative, effort, and commitment to public service; being proactive and achievement-oriented; being self-motivated; pursuing self-development; seeking feedback from others and opportunities to master new knowledge.

- (f) Dealing effectively with pressure; maintaining focus and intensity and remaining persistent, even under adversity; recovering quickly from setbacks.

Leadership Competencies		
Motivation	Creativity & Innovation	Resilience
	Continual Learning	Service
Thinking	External Awareness	Strategic
	Flexibility	Vision

## 2. LEADING PEOPLE

This core qualification involves the ability to design and implement strategies, which maximize employee potential and foster high ethical standards in meeting the organization's vision, mission and goals.

### Key Characteristics:

- (a) Providing leadership in setting the workforce's expected performance levels commensurate with the organization's strategic objectives; inspiring, motivating, and guiding others toward goal accomplishment; empowering people by sharing power and authority.
- (b) Promoting quality through effective use of the organization's performance management system (e.g., establishing performance standards, appraising staff accomplishments using the developed standards, and taking action to reward, counsel, or remove employees, as appropriate.)
- (c) Valuing cultural diversity and other differences; fostering an environment where people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
- (d) Assessing employees' unique developmental needs and providing developmental opportunities which maximize employees' capabilities and contribute to the achievement of organizational goals; developing leadership in others through coaching and mentoring.
- (e) Fostering commitment, team spirit, pride, trust, and group identity; taking steps to prevent situations that could result in unpleasant confrontations.
- (f) Resolving conflicts in a positive and constructive manner; this includes promoting labor/management partnerships and dealing effectively with employee relations matters, attending to morale and organizational climate issues, handling administrative, labor management, and EEO issues, and taking disciplinary actions when other means have not been successful.

Leadership Competencies	
Conflict Management	Integrity/Honesty
Cultural Awareness	Team Building

### 3. RESULTS DRIVEN

This core qualification stresses accountability and continuous improvement. It includes the ability to make timely and effective decisions and produce results through strategic planning and the implementation and evaluation of programs and policies.

#### Key Characteristics:

- (a) Understanding and appropriately applying procedures, requirements, regulations, and policies related to specialized expertise; understanding linkages between administrative competencies and mission needs; keeping current on issues, practices, and procedures in technical areas.
- (b) Stressing results by formulating strategic program plans, which assess policy/program feasibility and include realistic short- and long-term goals and objectives.
- (c) Exercising good judgment in structuring and organizing work and setting priorities; balancing the interests of clients and readily readjusting priorities to respond to customer demands.
- (d) Anticipating and identifying, diagnosing, and consulting on potential or actual problem areas relating to program implementation and goal achievement; selecting from alternative courses of corrective action, and taking action from developed contingency plans.
- (e) Setting program standards; holding self and others accountable for achieving these standards; acting decisively to modify them to promote customer service and/or the quality of programs and policies.
- (f) Identifying opportunities to develop and market new products and services within or outside of the organization; taking risks to pursue a recognized benefit or advantage.

Leadership Competencies		
Credibility	Accountability	Entrepreneurship
	Customer Service	Problem Solving
	Decisiveness	Technical

### 4. BUSINESS ACUMEN

This core qualification involves the ability to acquire and administer human, financial, material, and information resources in a manner which instills public trust and accomplishes the organization's mission, and to use new technology to enhance decision making.

**Key Characteristics:**

- (a) Assessing current and future staffing needs based on organizational goals and budget realities. Applying merit principles to develop, select, and manage a diverse workforce.
- (b) Overseeing the allocation of financial resources; identifying cost-effective approaches; establishing and assuring the use of internal controls for financial systems.
- (c) Managing the budgetary process, including preparing and justifying a budget and operating the budget under organizational and Congressional procedures; understanding the marketing expertise necessary to ensure appropriate funding levels.
- (d) Overseeing procurement and contracting procedures and processes.
- (e) Integrating and coordinating logistical operations.
- (f) Ensuring the efficient and cost-effective development and utilization of management information systems and other technological resources that meet the organization's needs; understanding the impact of technological changes on the organization.

Leadership Competencies		
Management	Financial Management	Technology
	Human Resources Management	

**5. BUILDING COALITIONS/COMMUNICATION**

This core qualification involves the ability to explain, advocate and express facts and ideas in a convincing manner, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizations, and to identify the internal and external politics that impact the work of the organization.

**Key Characteristics:**

- (a) Representing and speaking for the organizational unit and its work (e.g., presenting, explaining, selling, defining, and negotiating) to those within and outside the office (e.g., agency heads and other Government executives; corporate executives; Office of Management and Budget officials; Congressional members and staff; the media; clientele and professional groups); making clear and convincing oral presentations to individuals and groups; listening effectively and clarifying information; facilitating an open exchange of ideas.
- b) Establishing and maintaining working relationships with internal organizational units (e.g., the other program areas and staff support functions); approaching each problem situation with a clear perception of organizational and political reality; using contacts to build and strengthen

internal support bases; getting understanding and support from higher level management.

- (c) Developing and enhancing alliances with external groups (e.g., other agencies or firms, state and local governments, Congress, and clientele groups); engaging in cross-functional activities; finding common ground with a widening range of stakeholders.
- (d) Working in groups and teams; conducting briefings and other meetings; gaining cooperation from others to obtain information and accomplish goals; facilitating "win-win" situations.
- (e) Considering and responding appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful and treats others with respect.
- (f) Seeing that reports, memoranda, and other documents reflect the position and work of the organization in a clear, convincing, and organized manner.

Leadership Competencies		
Communication	Influencing/Negotiating	Partnering
	Interpersonal Skills	Political Savvy
	Oral Communication	Written



## VACANCY ANNOUNCEMENT SUPPLEMENTAL INFORMATION

Rev4/95

**ALL QUALIFIED APPLICANTS WILL BE CONSIDERED REGARDLESS OF AGE, RACE, COLOR, SEX, CREED, NATIONAL ORIGIN, LAWFUL POLITICAL AFFILIATION, NON-DISQUALIFYING HANDICAP, MARITAL STATUS, SEXUAL ORIENTATION, AFFILIATION WITH AN EMPLOYEE ORGANIZATION, OR OTHER NON-MERIT FACTOR.**

### I. HOW TO APPLY

**CANDIDATES** may submit a resume, OF-612, Optional Application for Federal Employment, or any other written format you choose. (SF-171, Application for Federal Employment, is also acceptable.)

**REGARDLESS OF WHICH APPLICATION FORM/FORMAT IS USED, TO ASSURE CONSIDERATION, THE FOLLOWING INFORMATION SPECIFIED IN ITEMS 1-5 BELOW MUST BE PROVIDED. FAILURE TO PROVIDE ANY OF THIS INFORMATION MAY LEAD TO NON-CONSIDERATION FOR THIS POSITION.**

1. **The announcement number, title and grade of the position for which you are applying.**
2. **Personal information**
  - a. Full name, mailing address (including ZIP Code), home and work telephone numbers (including area codes).
  - b. Social security number.
  - c. Country of citizenship.
  - d. Highest federal civilian grade held, including job series and dates held.
3. **Education**
  - a. High school - name, city, state and ZIP Code (if known) and date you received diploma or GED.
  - b. Colleges and universities - name, city, state and ZIP Code (if known), majors(s), type(s) of degree(s) received and date(s) received. If you did not receive a degree, show total credits earned and indicate whether semester or quarter hours.
4. **Job-Related Work Experience (Paid and Non paid)**
  - a. Job title (include series and grade if Federal).
  - b. Duties and accomplishments.
  - c. Employer's name and address.
  - d. Supervisor's name and telephone number.
  - e. Starting and ending dates (month and year).
  - f. Hours per week.
  - g. Salary.
  - h. Indicate if we may contact your current supervisor.
5. **Other Qualifications**
  - a. Job-related training courses (title and year).
  - b. Job-related skills, i.e., other languages, computer hardware/software, etc.
  - c. Job-related certificates and licenses (current only). Do not send copies unless required in the announcement.
  - d. Job-related honors, awards and special accomplishments, i.e., publications, memberships in professional or honor societies, leadership activities, public speaking, performance awards, etc. Give dates but do not send documents unless requested.

### II. GENERAL INFORMATION

1. Applicants must apply at their own expense; applications mailed in government postage-paid envelopes or faxed from another Federal Government agency fax machine will not be considered.
2. Applicants must ensure that their complete application is postmarked no later than the closing date of the vacancy announcement.
3. Applicants must meet all eligibility requirements by the closing date of the vacancy announcement.
4. Applicants must be citizens of the United States (or owe allegiance to the United States).
5. Handicapped applicants, disabled veterans, or any other applicants eligible for non-competitive appointment under special appointing authorities not requiring competitive status should clearly specify their special eligibility on their application.
6. If selected, male applicants born after December 31, 1959, must confirm their selective service registration status. Certification forms are available at most Federal agency personnel offices or from the U.S. Office of Personnel Management.
7. Applications will not be returned to applicants.
8. Applicants will receive notification of the outcome of a vacancy announcement as soon as possible after a selection is made.
9. Privacy Act requirements (PL 93-579): the application forms prescribed are used to determine qualification for promotion, reassignment, or employment and are authorized under Title 5, USC sections 3302 and 3360.
10. Candidates outside of the PTO who are referred for consideration will be required to complete the Declaration for Federal Employment, OF-306.